

PTO/SB/08A (08-03)

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet	1	of	2	Attorney Docket Number	021154-000810US
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Complete If Known

Application Number	10/650,360
Filing Date	August 27, 2003
First Named Inventor	Leung, Albert
Art Unit	2486-2189
Examiner Name	Unassigned PEIJAR

U.S. PATENT DOCUMENTS+

Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
BSP	AA	US-6,519,637		02-11-2003	Arkeketa, et al.	
	AB	US-6,493,756		12-10-2002	O'Brien, et al.	
	AC	US-6,460,070		10-01-2002	Turek, et al.	
	AD	US-6,453,325		09-17-2002	Cabrera et al.	
	AE	US-6,366,988		04-02-2002	Skiba et al.	
	AF	US-6,339,793		01-15-2002	Bostian et al.	
	AG	US-6,330,572		12-22-2001	Sitka	
	AH	US-6,269,382		07-31-2001	Cabrera et al.	
	AI	US-6,154,817		11-28-2000	Mohan et al.	
	AJ	US-6,038,379		03-14-2000	Fletcher et al.	
	AK	US-6,035,373		03-07-2000	Iwata	
	AL	US-5,991,753		11-23-1999	Wilde	
	AM	US-5,933,603		08-03-1999	Vahalia et al.	
	AN	US-5,798,766		08-25-1998	Hayashi et al.	
	AO	US-5,778,395		07-07-1998	Whiting et al.	
	AP	US-5,689,681		11-18-1997	Petersen	
	AQ	US-5,606,689		02-25-1997	Nakagawa	
	AR	US-5,506,986		04-09-1996	Healy	
	AS	US-5,485,606		01-16-1996	Midgley et al.	
	AT	US-5,202,982		04-13-1993	Gramlich et al.	
BSP	AU	US-5,131,087		07-14-1992	Warr	
	AV	US-5,063,523		11-05-1991	Milan J. Vrenjak	
	AW	US-2002/0174139		11-21-2002	Midgley et al.	
	AX	US-2001/0037475		11-01-2001	Bradshaw et al.	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ³
		Country Code ³	Number ⁴	Kind Code ⁵ (if known)				
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SignatureDate
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² Kind Codes of U.S. Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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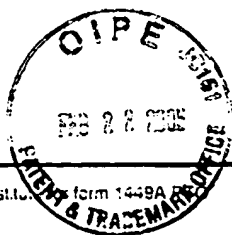
Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)			Complete if Known		
			Application Number	10/650,360	
			Filing Date	August 27, 2003	
			First Named Inventor	Leung, Albert	
			Art Unit	2486 2189	
			Examiner Name	Unassigned PEI/KAR	
Sheet	2	of	2	Attorney Docket Number	021154-000810US

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²	
BSP	AY	BHATTACHARYA et al., "Coordinating Backup/Recovery and Data Consistency Between Database and File Systems," <i>Procs. 2002 ACM SIGMOD Int. Conf. on Management of Data</i> , pgs. 500-511 (2002).		
	AZ	HSM For NetWare- White Paper: A Guide to Hierarchical Storage Management from http://support.ca.com/techbases/hsm/HSMWhitePaper.html visited on 01/10/2003.		
	BA	POWERS, et al. (July 1999). "Complementing AS/400 Storage Management Using Hierarchical Storage Management APIs, A Practical Approach to AS/400 Storage Management," International Technical Support Organization, from http://www.redbooks.ibm.com/pubs/pdfs/redbooks/sg244450.pdf visited on 01/10/2003		
	BB	SafeCapacity™ User's Manual Version 2.14 (01/01/2002) Solution-Soft, Santa Clara, CA 48 pages total.		
BSP	BC	WELCH et al., "A Resilient Application-Level Failure Detection System for Distributed Computing Environments," <i>Computers and Communications</i> (1995) IEEE Symposium on 27-29 Jun 1995-96.		

Examiner Signature		Date Considered	8/20/06
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PATENT APPLICATION

Substitute Form 1449A			Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>			Application Number	10/650,360
			Filing Date	August 27, 2003
			First Named Inventor	Leung, Albert
			Art Unit	2488-2189
			Examiner Name	Padmanabhan, Mane PEIKAR
Sheet 1 of 3	Attorney Docket Number		021154-000810US	

U.S. PATENT DOCUMENTS+					
Examiner Initials	Cite No.	Document Number Number Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
BSP	AA	US-6,631,477	10-07-2003	LeCrone et al.	
	AB	US-6,584,497	06-24-2003	Casse et al.	
	AC	US-6,449,731	09-10-2002	Frey, Jr.	
	AD	US-6,415,280	07-02-2002	Furber et al.	
	AE	US-6,404,925	06-11-2002	Foote et al.	
	AF	US-6,330,610	12-11-2001	Dector et al.	
	AG	US-6,023,709	02-08-2000	Anglin et al.	
	AH	US-5,983,318	11-09-1999	Willson et al.	
	AI	US-5,873,103	02-16-1999	Trede et al.	
	AJ	US-5,819,296	10-06-1998	Anderson et al.	
	AK	US-5,708,806	01-13-1998	DeRose et al.	
	AL	US-5,475,834	12-12-1995	Anglin et al.	
	AM	US-5,471,677	11-28-1995	Imanaka	
	AN	US-5,053,948	10-01-1991	DeClute et al.	
	AO	US-2005/0033757	02-10-2005	Greenblatt et al.	
	AP	US-2005/0021566	01-27-2005	Mu	
	AQ	US-2005/0015409	01-20-2005	Wen et al.	
	AR	US-2004/0163029	08-19-2004	Foley et al.	
	AS	US-2004/0083202	04-29-2004	Mu et al.	
	AT	US-2004/0054656	03-18-2004	Leung et al.	
	AU	US-2004/0049513	03-11-2004	Yakir et al.	
	AV	US-2003/0115204	06-19-2003	Greenblatt et al.	
	AW	US-2003/0046270	03-06-2003	Leung et al.	
	AX	US-2003/0046313	03-06-2003	Leung et al.	
	AY	US-2002/0138251	09-26-2002	Geary	
BSP	AZ	US-2001/0034795	10-25-2001	Moulton et al.	

Examiner Signature	<i>Bhu</i>	Date Considered	8/20/06
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				Art Unit	2188 2189
				Examiner Name	Padmanabhan, Meno PEIKAR
Sheet	2	of	3	Attorney Docket Number	021154-000810US

FOREIGN PATENT DOCUMENTS								
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		Country Code ³	Number ⁴	Kind Code ⁵ (if any)				
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BJP	BK	WO	03/021441		03-13-2003			<input type="checkbox"/>

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			Filing Date	August 27, 2003	
			First Named Inventor	Leung, Albert	
			Art Unit	2486 2189	
			Examiner Name	Padmanabhan, Manoj <i>REIKAR</i>	
Sheet	3	of	3	Attorney Docket Number	021154-000810US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
BSP	BL	Microsoft Corporation, Microsoft Windows 2000 Server white paper, Enterprise Class Storage in Windows 2000, 1999, pgs. 11, 19, 20.	
I	BM	The PC Guide, May 11, 2001, downloaded from http://web.archive.org/web/20010626140029/www.pcguides.com/ref/hdd/file/ntfs/secRes-c.html on 4/7/04	
BSP	BN	SIYAN, K.S., "Windows 2000 Server Professional Reference, July 10, 2000, ISBN 0-7357-0952-1," Implementing File System Security Using File Permissions, chapter 9.	

Examiner Signature	<i>Bh</i>	Date Considered	8/20/06
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Examiner Name	Padmanabhan, Mene <i>feilkar</i>				
Sheet	2	of	2	Attorney Docket Number	021154-000810US

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BSP	AA	MOORE et al., "Policy Core Information Model Extensions," Internet Draft, DRAFT-IETF-POLICY-PCIM-EXT-06.TXT, 11/8/01, pages 1-85 downloaded from http://www.watersprings.org/pub/id/draft-ietf-policy-pcim-ext-06.txt on 2/2/05.	
I	AB	STRASSNER et al., "Policy Framework Definition Language," Internet Draft, DRAFT-IETF-POLICY-FRAMEWORK-PFDL-00.TXT, 11/17/98, pages 1-18 downloaded from http://www.watersprings.org/pub/id/draft-ietf-policy-framework-pfdl-00.txt on 3/2/05.	
I	AC	WATERS et al., "Policy Framework Architecture," Internet Draft, DRAFT-IETF-POLICY-ARCH-00.TXT, 2/26/99, pages 1-18 downloaded from http://www.watersprings.org/pub/id/draft-ietf-policy-arch-00.txt on 3/2/05.	
BY	AD	WOLFSON et al., "Managing Communication Networks by Monitoring Databases," <u>IEEE Trans. Software Engineering</u> , 17(9):944-953 (1991).	

Examiner Signature	<i>[Signature]</i>	Date Considered	8/20/06
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		Application Number	10/650,360
		Filing Date	August 27, 2003
		First Named Inventor	Leung, Albert
		Art Unit	2488 2189
Sheet 1	of 2	Examiner Name	Padmanabhan Manoj REIKAR
		Attorney Docket Number	021154-000810US

U.S. PATENT DOCUMENTS+						
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	
		Number Kind Code ² (if known)				
BSP	AA	US-6,941,560	09/06/2005	Lowry et al.		
	AB	US-6,915,338	07/05/2005	Hunt et al.		
	AC	US-6,839,766	01/04/2005	Parnafes et al.		
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	AE	US-6,662,235	12/09/2003	Callis et al.		
	AF	US-6,654,864	11/25/2003	Shaath et al.		
	AG	US-6,466,952	10/15/2002	Hanes et al.		
	AH	US-6,438,642	08/20/2002	Shaath		
	AI	US-6,370,545	04/09/2002	Shaath		
	AJ	US-6,336,175	01/01/2002	Shaath et al.		
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		Application Number	10/650,360
		Filing Date	August 27, 2003
		First Named Inventor	Leung, Albert
		Art Unit	2188 2189
Examiner Name	Radmanabhan Mone PEIKAL		
Attorney Docket Number	021154-000810US		
Sheet	2	of	2

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BSP	BC	SUN (Sun Microsystems, Inc., "Solstice Backup™ 5.5, Administration Guide", Part No. 806-1135-10, September 1999, Revision A), pg. 1-2, 140-141.	
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PTO/SB/08A (07-05)

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		Art Unit	2189
		Examiner Name	Behzad Peikari
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B/P	AA	US-6,920,447 B2	07-2005	Pudipeddi et al.	
	AB	US-6,979,815	11-1999	Cabrera et al.	
	AC	US-6,701,415	12-1997	Wei, Yi-Hsiu	
	AD	US-4,901,231	02-1990	Bishop et al.	
	AE	US-2006/0010150 A1	01-12-2006	Shanath et al.	
B/P	AF	US-2002/0107878 A1	08-2002	Tsuchida et al.	
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PTO/SB/08A (07-05)

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Application Number	10/650,360
				Filing Date	August 27, 2003
				First Named Inventor	Leung, Albert
				Art Unit	2189
				Examiner Name	Behzad Pelkari
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BSP	AA	US 6,990,667	01-24-2006	Ulrich et al.		
I	AB	US 5,317,728	05-31-1994	Tevis et al.		
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BSP	AD	US 2002/0174296	11-21-2002	Ulrich et al.		
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Examiner Signature		Date Considered	8/20/06
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